

11/20/01

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# UTILITY PATENT APPLICATION TRANSMITTAL

## (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
12592-4

Total Pages in this Submission

**TO THE ASSISTANT COMMISSIONER FOR PATENTS**

Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**METHODS AND USE OF MOTONEURONOTROPHIC FACTORS**

and invented by:

**Raymond Ming Wah Chau**

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 09/592,018

Which is a:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 08/928,862

Which is a:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 08/751,225

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 54 pages and including the following:

- a. ☒ Descriptive Title of the Invention
- b. ☒ Cross References to Related Applications (if applicable)
- c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
- d. ☐ Reference to Microfiche Appendix (if applicable)
- e. ☒ Background of the Invention
- f. ☒ Brief Summary of the Invention
- g. ☐ Brief Description of the Drawings (if drawings filed)
- h. ☒ Detailed Description
- i. ☒ Claim(s) as Classified Below
- j. ☒ Abstract of the Disclosure

"Express Mail" mailing label number

EL 13442919305

Date of Deposit

11-20-01

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Pos. Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, DC 20231.

**KIRA LUTCHENKO V**

Typed or Printed Name of Person  
Mailing Paper or Fee

*Kira Lutchenko*

Signature

# UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

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## Application Elements (Continued)

3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)
- a. ☒ Formal      b. ☐ Informal      Number of Sheets 36
4. ☒ Oath or Declaration
- a. ☒ Newly executed (original or copy)      ☐ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☒ With Power of Attorney      ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☒ Genetic Sequence Submission (if applicable, all must be included)
- a. ☒ Paper Copy
- b. ☒ Computer Readable Copy
- c. ☒ Statement Verifying Identical Paper and Computer Readable Copy

## Accompanying Application Parts

8. ☐ Assignment Papers (cover sheet & documents)
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement/PTO-1449      ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☐ Certificate of Mailing
- ☐ First Class      ☒ Express Mail (Specify Label No.): EL134429193US

# UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
12592-4

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## Accompanying Application Parts (Continued)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Small Entity Statement(s) - Specify Number of Statements Submitted: \_\_\_\_\_
17. ☐ Additional Enclosures (please identify below):

## Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)

18. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

## Warning

**An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.**

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
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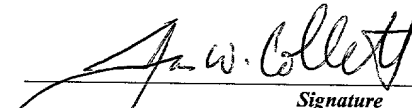
**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

| For  | #Filed | #Allowed | #Extra | Rate      | Fee      |
|--|--------|----------|--------|-----------|----------|
| Total Claims   | 34     | - 20 =   | 14     | x \$9.00  | \$126.00 |
| Indep. Claims  | 5      | - 3 =    | 2      | x \$42.00 | \$84.00  |
| Multiple Dependent Claims (check if applicable) <input type="checkbox"/> |        |          |        |           | \$0.00   |
| BASIC FEE  |        |          |        |           | \$370.00 |
| OTHER FEE (specify purpose)  |        |          |        |           | \$0.00   |
| TOTAL FILING FEE   |        |          |        |           | \$580.00 |

- ☒ A check in the amount of **\$580.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. **19-2090** as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: November 20, 2001

  
Signature

James W. Collett, Ph.D.  
Reg. No. 46,636  
Sheldon & Mak  
225 S. Lake Avenue, 9th Floor  
Pasadena, CA 91101  
(626) 796-4000

cc:

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                            |   |                                |
|----------------------------|---|--------------------------------|
| In re Application of:      | ) | Group Art Unit: to be assigned |
|                            | ) |                                |
| Raymond Ming Wah Chau      | ) | Examining Attorney:            |
|                            | ) | to be assigned                 |
| Serial No.: to be assigned | ) |                                |
|                            | ) |                                |
| Filed: November 20, 2001   | ) |                                |
|                            | ) |                                |
| For: METHODS AND USE OF    | ) |                                |
| MOTONEURONOTROPHIC         | ) | Pasadena, California           |
| FACTORS                    | ) |                                |
|                            | ) |                                |

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## STATEMENT IN ACCORDANCE WITH 37 CFR 1.821(c) and (e)

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D. C. 20231

Dear Sir:

Enclosed with this Statement is the above-identified United States application, including a Sequence Listing and a computer readable form of the sequence listing filed herewith in accordance with 37 CFR 1.821(c) and (e).

"EXPRESS MAIL" mailing label number EL134429193US

Date of Deposit November 20, 2001

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202.



Signature

KIRA LUTCHENKOV

Typed or Printed Name of Person Mailing Paper or Fee

PATENT

12592-4

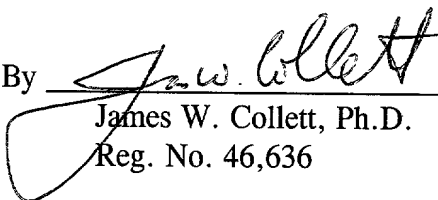
37 CFR 1.1821(f) - I hereby state that the content of the paper and computer readable copies of the Sequence Listing submitted herewith in accordance with 37 CFR 1.1821(c) and (e), respectively, are the same.

The Commissioner is hereby authorized to charge payment of any fees associated with this communication to Deposit Account No. 19-2090.

Respectfully submitted,

SHELDON & MAK

Date: November 20, 2001

By   
James W. Collett, Ph.D.  
Reg. No. 46,636

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